Naval Inspector General
Washington Navy Yard, DC
2014 IGMC Symposium
VADM Frank Caldwell
Conscience of the Navy...Making a Difference!

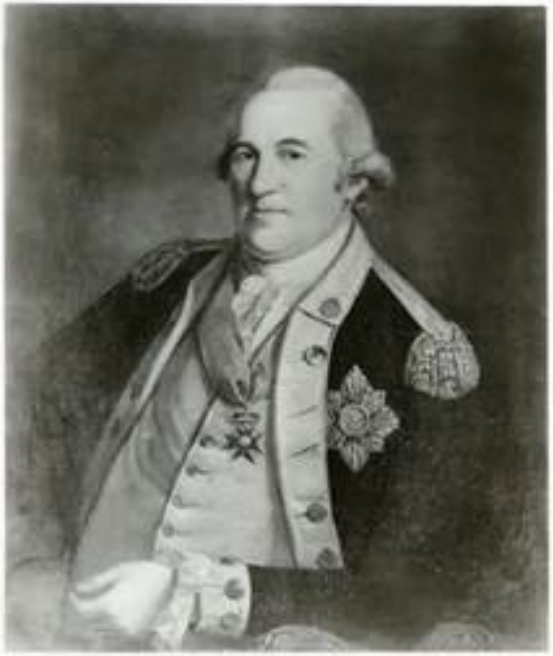
Inspectors General

"A typical IG is a man past middle age, spare, wrinkled, cold, passive, non-committal, with eyes of a codfish, polite in contact, but at the same time unresponsive, calm, and damnably composed as a concrete post or a plaster of paris cast, a human petrification with a heart of feldspar and without charm or friendly germ, minus bowels, passion, or a sense of humor. Happily, they never reproduce and all of them finally go to hell."

Now I are one!

- Gen. George S. Patton, Jr.

Our History



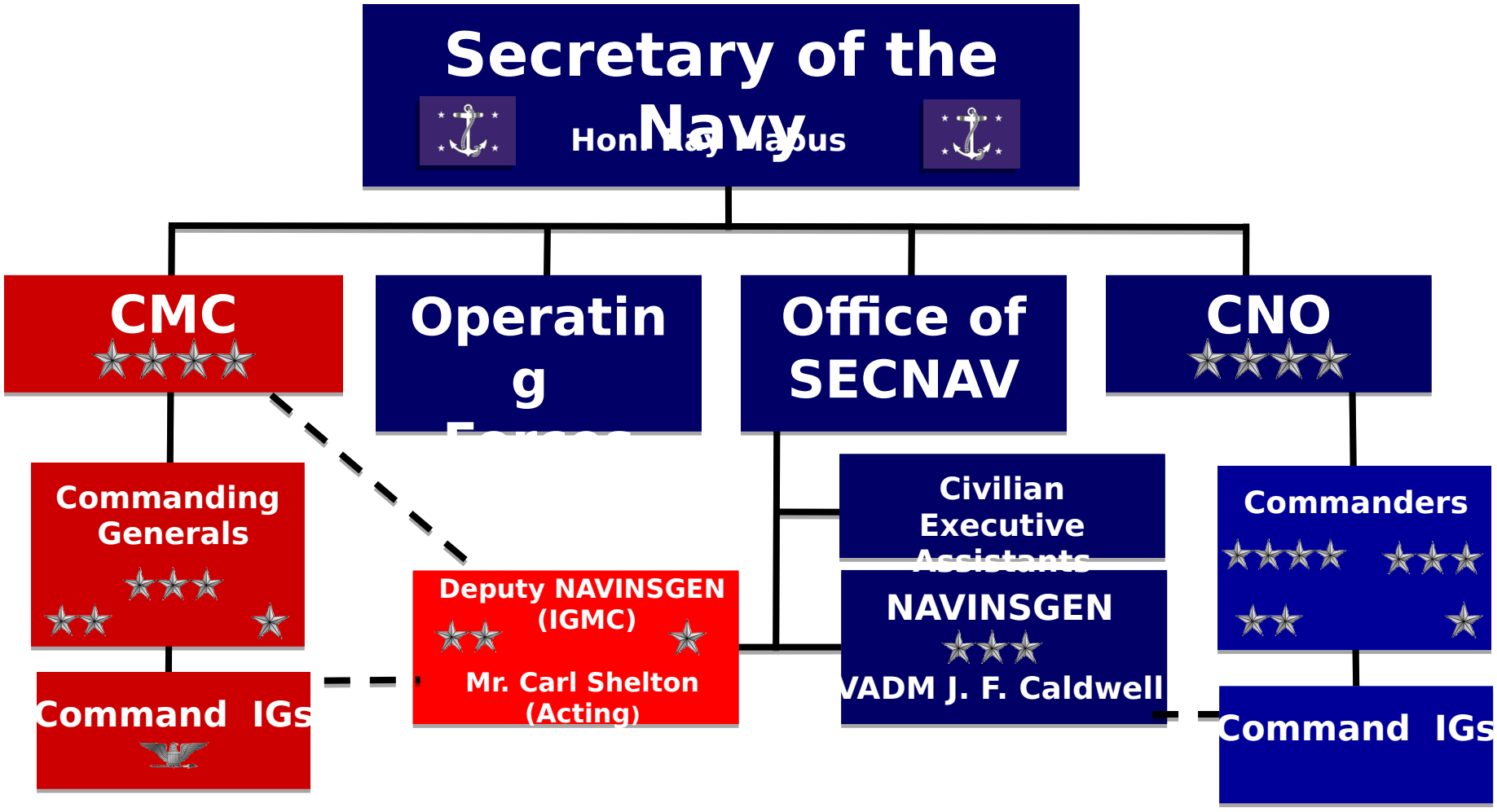
Born 17 Sep 1730

- ***Know the Naval Service***
- ***Communicate what we learn***
- ***Make the Navy better***
- ***BE….***
  - ***Fair***
  - ***Objective***
  - ***Professional***
  - ***Accountable***

NAVIG Business Lines

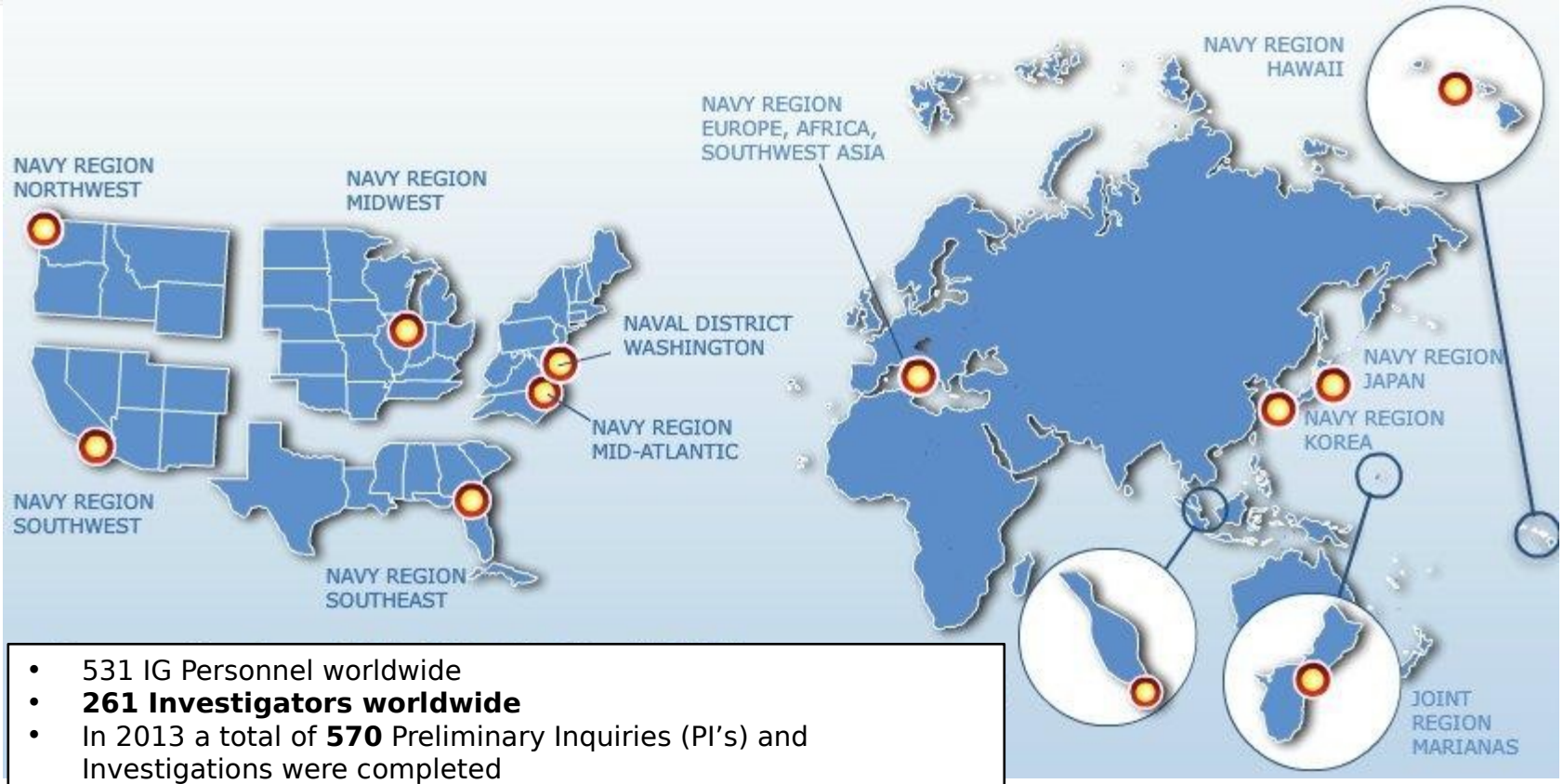
- **Inspections**
  - Command Inspections (Echelon 2)
  - Area Visits (Quality of Life and Quality of Workplace)
  - Intelligence Oversight
- **Investigations**
  - Hotline (Fraud, Waste, & Abuse)
  - Military Whistle Blower Reprisal
  - Senior Official
- **Special Studies**
  - AT/FP, Noise-Induced Hearing Loss, Overseas Drinking Water
- **Leading/Mentoring IG network (~500)**
- **Support Functions(Records Checks/Audit Liaison)**

Command Relationships



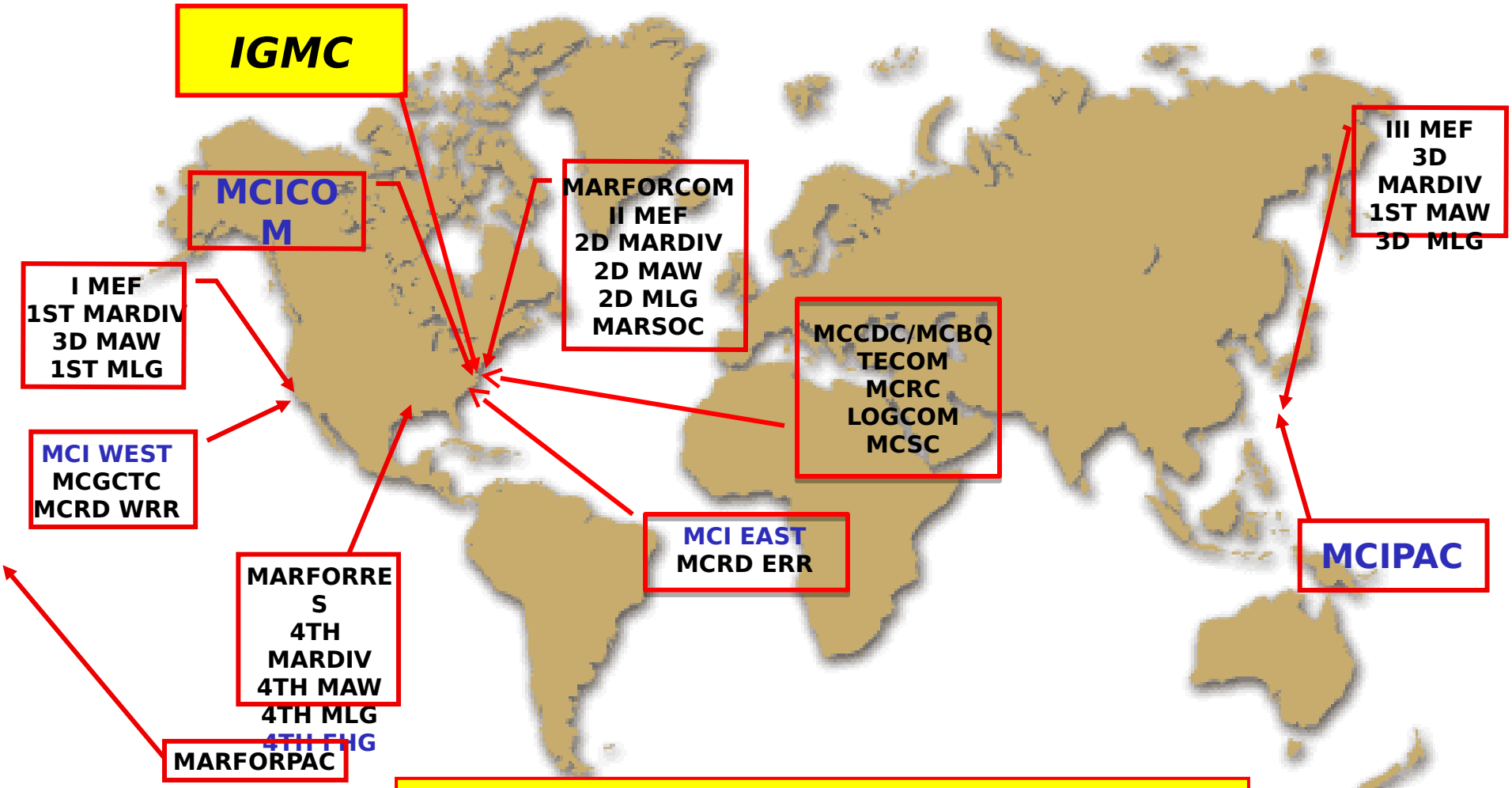
Title 10 USC § 5020 - Naval Inspector General

NAVIG Worldwide Communi



- 531 IG Personnel worldwide
- **261 Investigators worldwide**
- In 2013 a total of **570** Preliminary Inquiries (PI's) and Investigations were completed
- **From Jan – May 2014 158 PI's and Investigations were completed**
- As of June **1, 2014 there were 524 open cases with an average of 146 days open**

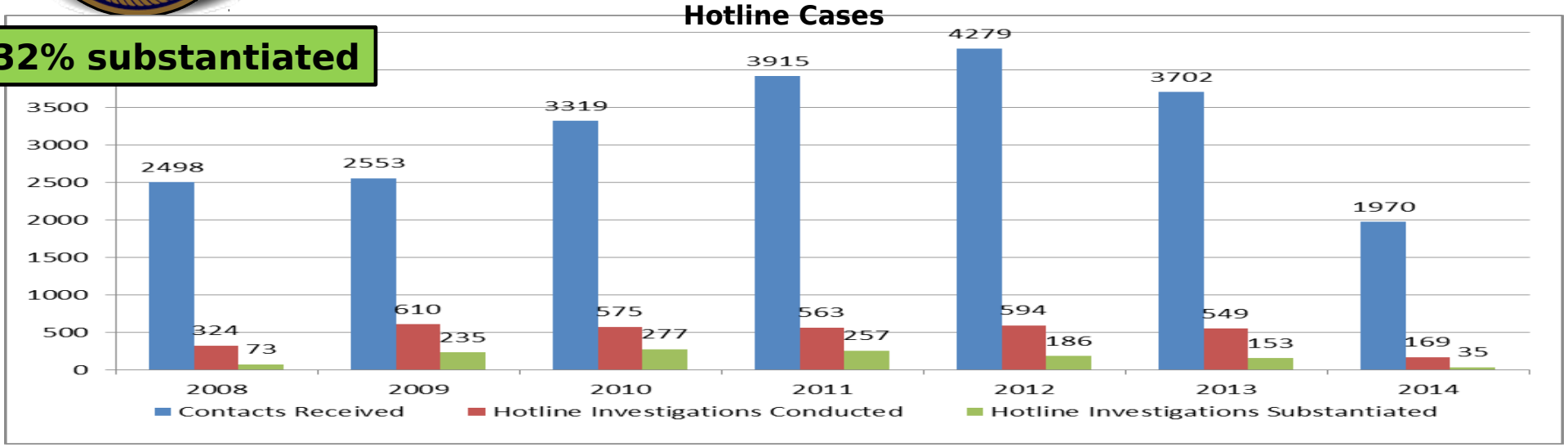
IGMC CIG Worldwide Commur



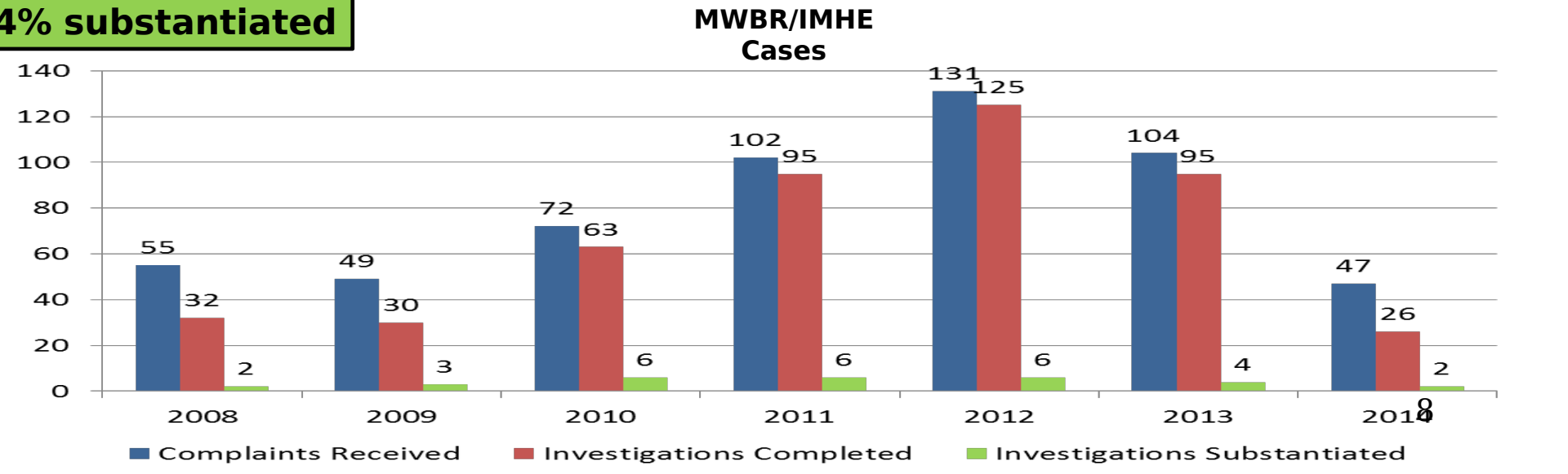
32 USMC Inspector Activities Worldwide

Navy Investigations Data Trends

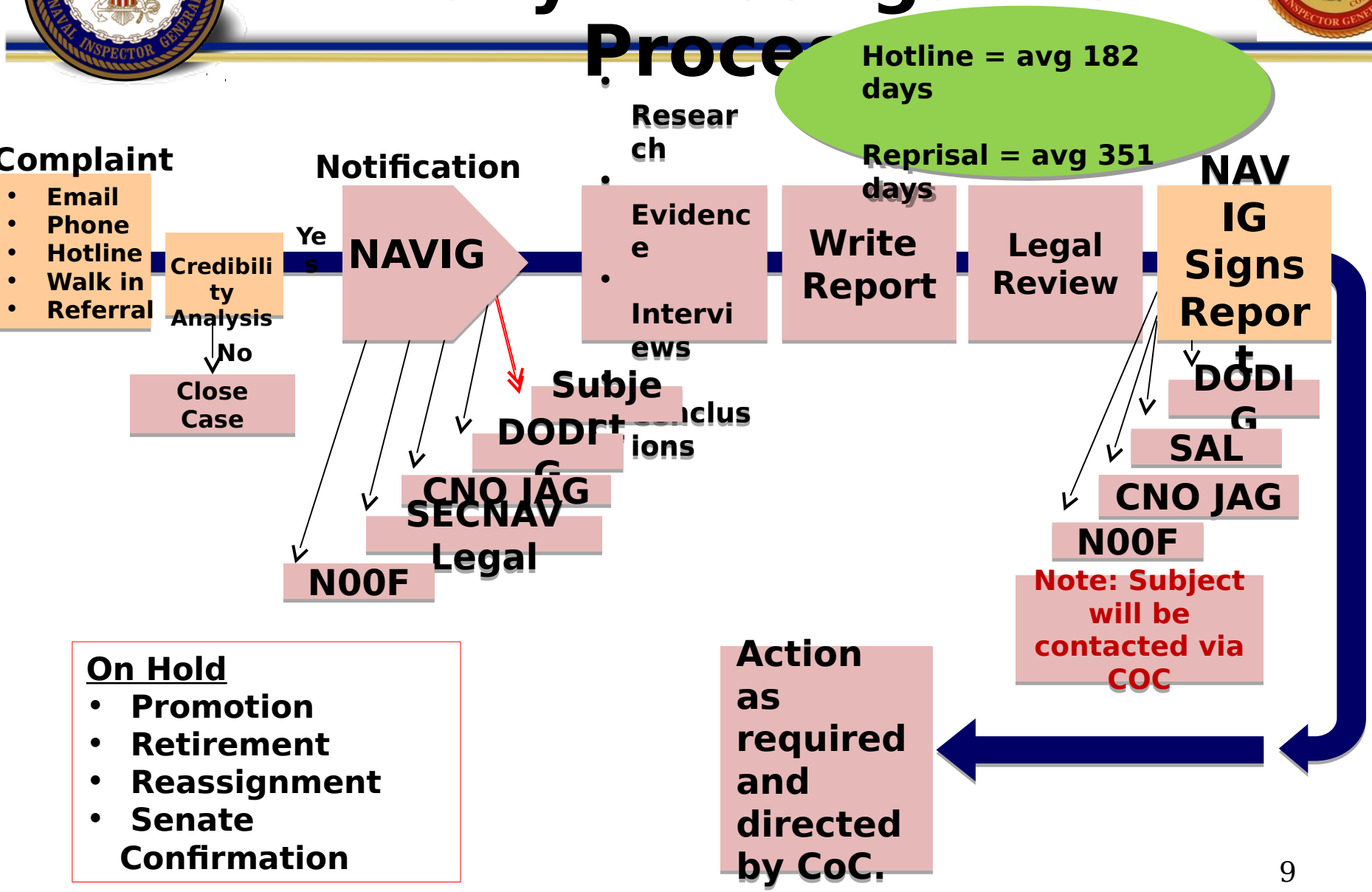
32% substantiated



4% substantiated

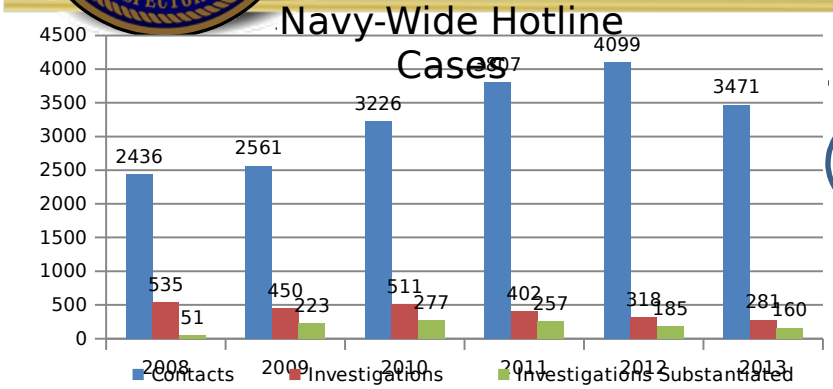


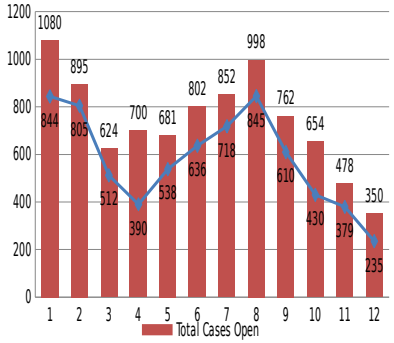
Navy Investigative Proce

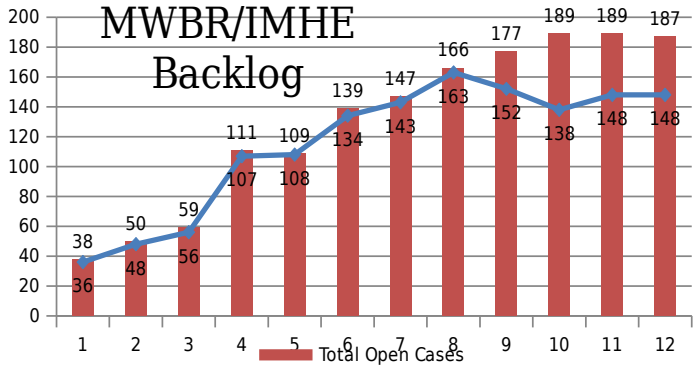


bject may not act as selection board President

NAVIG: Our Challenges







IG Conference

Training

SOPs

Quals Certs

Website

Investigations Manual

Lessons Learned

Command	Last Inspection	Notes
Commander, Fleet Cyber Command	2014	
Superintendent, U.S. Naval Academy	2014	
Commander, Naval Safety Center	2014	
Commander, U.S. Pacific Fleet	2014	
Commander, Naval Special Warfare Command	2014	
Director, Strategic Systems Command	2013	
Commander, Navy Reserve Force	2013	
President, Naval War College	2013	
Chief of Naval Personnel	2012	
Commander, Naval Air Systems Command	2012	
Commander, Office of Naval Intelligence	2012	
Director, Field Support Activity	2012	
President, Naval Postgraduate School	2012	
Commander, Naval Legal Services	2011	
Director, Naval History and Heritage Command	2011	
Commander, Naval Supply Systems Command	2011	
Commander, Space and Naval Warfare Systems	2011	
Commander, U.S. Naval Forces Central Command	2011	
Chief, Bureau of Medicine and Surgery	2010	
Commander, Naval Sea Systems Command	2010	
Commander, Navy Installations Command	2009	
Commander, U.S. Naval Forces Europe / Africa	2009	
Commander, Naval Facilities Command	2008	
Commander, U.S. Fleet Forces	2008	
Naval Criminal Investigative Service	2002	
Commander, Military Sealift Command	2002	
Commander, Operational Test and Evaluation Force	2000	H/C 2010
Commander, Naval Education and Training	1999	H/C 2010

Our Way Ahead

Mapping our processes → **IT Solutions**

Inspections

Investigations

Special Studies

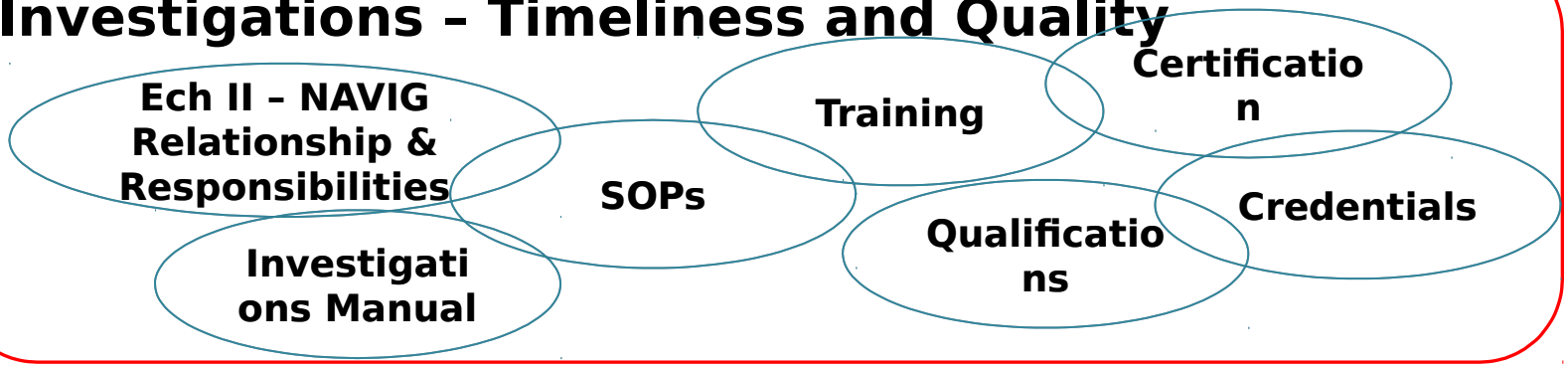
Support Functions

Our Way Ahead

Mapping our processes → **IT Solutions**

Inspections

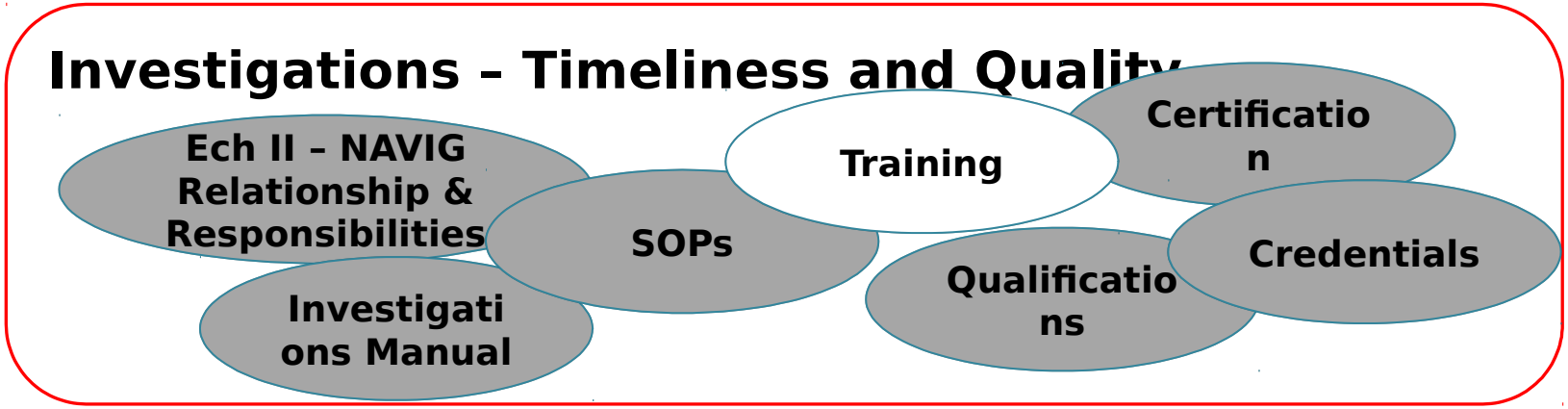
Investigations – Timeliness and Quality



Special Studies

Support Functions

Mobile Training Team



- **Purpose: Navy Hotline Investigator Certification**
- **First Course: Convenes <u>22 September</u>**
- **Curriculum Development in conjunction with Echelon II Training Council**
- **First Year: Major Fleet Concentration Areas**

THE NAVAL IG'S FOCUS

Lines of Operation

- **Well planned, comprehensive, and efficiently executed Inspections and Area Visits**
- **Timely, objective, professional Investigations**
- **Independent, relevant Special Studies**
- **Professional, timely executed Support Functions**
- **Pride in our Team**

Our strategic imperatives

- **Professionalism in all we do**
- **A sense of urgency**
- **Strong internal communications**
- **Commitment to and development of a professional IG corps**
- **Codified Procedures and Policies**
- **Broader Awareness of the US Navy**
- **Inter-dependent relationships**

Conscience of the Navy….Making the U.S. Navy Better!

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BACKUP

Questions?

NAVIG HOTLINE: 1-800-522-3451

NAVIGHotlines@navy.mil

www.ig.navy.mil

NAVINSGEN Business Lines

Command Inspections	Area Visits	Investigations	Special Studies
Mission Performance **Facilities, Safety, Security** **Program Compliance** Sexual Assault Programs Suicide Prevention Programs Operational Stress Control Hazing Policy Training Motorcycle Safety CMEO / DAPA / UPC IT Mgmt / Info Assurance Healthcare / Medical Readiness Fraud, Waste & Mismanagement / MIC Property / Resource Mgmt Command Climate Voting Assistance Program PRT Program	**Quality of Life / Work** Functions cutting across area commands SAPR PSD Support NEX / Commissary / MWR Medical / Dental Support Housing / Barracks Family Services Education Services Religious Programs **Facilities, Safety, Security** **Impediments to Mission**	Navy Hotline Program Senior Officials Military Whistleblower Reprisal	**Ongoing Studies:** Nuclear Power Personnel Testing and Certification Overseas Housing (Concluding) **Topics being refined for study:** Sexual Harassment and Sexual Assault Facility readiness and DRRS-N reporting Overseas Drinking Water – a follow-up review **Other Potential Topics:** Security and Access Insider Threat Program Classified Materiel Spillage Impact and Consequences Trends with Struggling Commands
Intelligence Oversight RDT&E Counterintelligence Protection Intelligence / SAP Oversight / Sensitive Activities			

SECNAV Special Interests

1. **Force Readiness**
2. **Auditability and Financial Controls**
3. **Base Security and Insider Threats**
4. **Compliance with Regulations**
5. **Ethical Leadership**

Ray Mabus
Secretary of the Navy

Special Interest Functional Areas

- **Sexual Assault Prevention and Response**
- **Acquisition Excellence & Integrity**
  - **Logistics, Supply, and Maintenance Operations**
- **Intelligence, intelligence related, sensitive activities, and controls of classified materials**
- **21st Century Sailor and Marine Initiatives**
  - **Readiness, Safety, and Fitness Through Continued Focus on Suicide Prevention and Alcohol & Substance Abuse Prevention**
  - **Compliance with Hazing/Harassment guidance**
  - **Inclusion (EO/Diversity)**
  - **Operational Stress Control (PTSD)**

DRAFT

CNO Special Interests

- **Taking care of our people**
- **Safety**
- **Financial Auditability**
- **Sexual Assault and its impact on Unit Readiness**
- **Family Preparedness and Support**
- **Compliance with Regulations**

Admiral Jonathan W. Greenert
Chief of Naval Operations

Special Interest Functional Areas:

- 21st Century Sailor
  - Safety (afloat/Vehicle/Motorcycle/Stress on the Force)
  - Sexual Assault Programs
  - Hazing & Sexual Harassment: Training & Compliance
  - Operational Stress Control
  - Equal Opportunity Compliance & Incident Reporting
- Network & Classified Material Security

DRAFT

CMC Special Interests

1. **Home Station Readiness**
2. **Family Readiness**
3. **USMC Standards (Unit/Individual)**
4. **Compliance with Regulations**
5. **Keeping the Faith**

General James F. Amos
Commandant, US Marine Corps

Special Interest Functional Areas

- **Sexual Assault Campaign (SAPR)**
- **Suicide Program (Awareness & Prevention)**
- **EO/Hazing Policy (Compliance & Training)**
- **Alcohol – Synthetic Drug Use Prevention (SACO)**
- **Safety – Motor Vehicles**
- **Classified Material Controls & Network Security**
- **Transition Assistance Program**

Additional Special Interest Topics

- **Operational Stress Control (PTSD)**
- **Social Media (Training & Compliance)**
- **Ethics training**

Suicide

- **The “at-risk” population may include your least likely personnel**
- **The time frame from a “change” to “action” might be very short**
- **Transitional periods are highest risk!**
- **It takes the entire team to be successful – including spouses.**
- **Does the culture in your command really allow people to come foreword with problems?**
- **Have you trained your team to be sensitive to changes in personality, demeanor or health?**

ACKNOWLEDGE THE PROBLEM

- Sexual assault is a crime
- Impacts our people -> Readiness, Retention and Morale

TRAIN YOUR TEAM

- Commanders MUST be involved
- Establish a recurring dialogue
- CPOs and sailors are critical to the solution (CSADD)
- Train sailors to make good decisions

FIX CORROSIVE ENVIRONMENTS

- Establish clear standards
- Ensure every member of our US Navy team is treated with respect
- Reduce “opportunities “ for bad behavior
- Questions the behaviors you and your team are condoning?

RAISE AWARENESS

- Know your people - who is at risk in your command?
- Build a culture of “bystander intervention”
- Encourage reporting. Understand and enforce victim rights

DETER AND PLAY OFFENSE

- Investigate and, if appropriate, prosecute
- Hold leaders accountable

TEACH/ENFORCE RESPONSIBLE USE OF ALCOHOL

- Use all your tools
- Make your leaders accountable
- Set the example

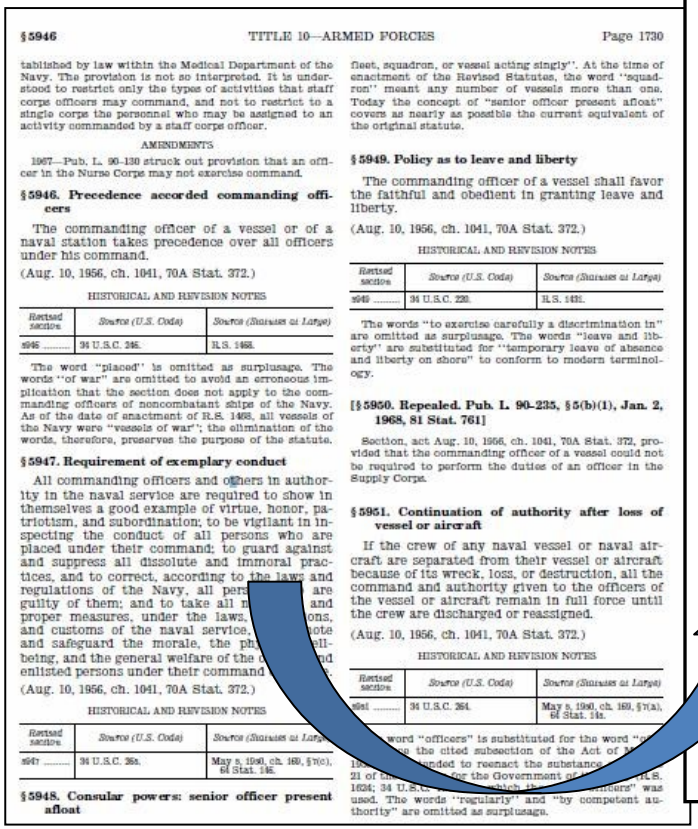
Bottom Line: GET TO THE “LEFT” OF THE EVENT!

Military Whistle-Blowers and Reprisals

Federal statute prohibits reprisal for protected communications

Protected Communication: Any lawful communication to a Member of Congress or an IG. A communication to a member of a DoD audit, investigation, law enforcement organization, or to a superior in the member's chain of command, that discloses a violation of law or regulation, gross mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety.

When you're in Command, Command



§ 5946 TITLE 10—ARMED FORCES Page 1730

tablished by law within the Medical Department of the Navy. The provision is not so interpreted. It is understood to restrict only the types of activities that staff corps officers may command, and not to restrict to a single corps the personnel who may be assigned to an activity commanded by a staff corps officer.

AMENDMENTS

1967—Pub. L. 90-130 struck out provision that an officer in the Nurse Corps may not exercise command.

§ 5946. Precedence accorded commanding officers

The commanding officer of a vessel or of a naval station takes precedence over all officers under his command.

(Aug. 10, 1956, ch. 1041, 70A Stat. 372.)

HISTORICAL AND REVISION NOTES

Revised section	Source (U.S. Code)	Source (Statutes at Large)
5946	34 U.S.C. 246.	R.S. 1468.

The word "placed" is omitted as surplusage. The words "of war" are omitted to avoid an erroneous implication that the section does not apply to the commanding officers of noncombatant ships of the Navy. As of the date of enactment of R.S. 1468, all vessels of the Navy were "vessels of war"; the elimination of the words, therefore, preserves the purpose of the statute.

§ 5947. Requirement of exemplary conduct

All commanding officers and others in authority in the naval service are required to show in themselves a good example of virtue, honor, patriotism, and subordination; to be vigilant in inspecting the conduct of all persons who are placed under their command; to guard against and suppress all dissolute and immoral practices, and to correct, according to the laws and regulations of the Navy, all pers are guilty of them; and to take all n and proper measures, under the laws, ons, and customs of the naval service, ote and safeguard the morale, the ph ell-being, and the general welfare of the d d enlisted persons under their command

(Aug. 10, 1956, ch. 1041, 70A Stat. 372.)

HISTORICAL AND REVISION NOTES

Revised section	Source (U.S. Code)	Source (Statutes at Large)
5947	34 U.S.C. 26a.	May 5, 1950, ch. 169, §7(c), 64 Stat. 146.

§ 5948. Consular powers: senior officer present afloat

fleet, squadron, or vessel acting singly". At the time of enactment of the Revised Statutes, the word "squadron" meant any number of vessels more than one. Today the concept of "senior officer present afloat" covers as nearly as possible the current equivalent of the original statute.

§ 5949. Policy as to leave and liberty

The commanding officer of a vessel shall favor the faithful and obedient in granting leave and liberty.

(Aug. 10, 1956, ch. 1041, 70A Stat. 372.)

HISTORICAL AND REVISION NOTES

Revised section	Source (U.S. Code)	Source (Statutes at Large)
5949	34 U.S.C. 220.	R.S. 1431.

The words "to exercise carefully a discrimination in" are omitted as surplusage. The words "leave and liberty" are substituted for "temporary leave of absence and liberty on shore" to conform to modern terminology.

[§ 5950. Repealed. Pub. L. 90-235, § 5(b)(1), Jan. 2, 1968, 81 Stat. 761]

Section, act Aug. 10, 1956, ch. 1041, 70A Stat. 372, provided that the commanding officer of a vessel could not be required to perform the duties of an officer in the Supply Corps.

§ 5951. Continuation of authority after loss of vessel or aircraft

If the crew of any naval vessel or naval aircraft are separated from their vessel or aircraft because of its wreck, loss, or destruction, all the command and authority given to the officers of the vessel or aircraft remain in full force until the crew are discharged or reassigned.

(Aug. 10, 1956, ch. 1041, 70A Stat. 372.)

HISTORICAL AND REVISION NOTES

Revised section	Source (U.S. Code)	Source (Statutes at Large)
5951	34 U.S.C. 264.	May 5, 1950, ch. 169, §7(a), 64 Stat. 14s.

word "officers" is substituted for the word "
the cited subsection of the Act of M
nded to reenact the substance
for the Government of
which
officers" was
used. The words "regularly" and "by competent authority" are omitted as surplusage.

§ 5947. Requirement of exemplary conduct

All commanding officers and others in authority in the naval service are required to show in themselves a good example of virtue, honor, patriotism, and subordination; to be vigilant in inspecting the conduct of all persons who are placed under their command; to guard against and suppress all dissolute and immoral practices, and to correct, according to the laws and regulations of the Navy, all persons who are guilty of them; and to take all necessary and proper measures, under the laws, regulations, and customs of the naval service, to promote and safeguard the morale, the physical well-being, and the general welfare of the officers and enlisted persons under their command or charge.

(Aug. 10, 1956, ch. 1041, 70A Stat. 372.)

HISTORICAL AND REVISION NOTES

Revised section	Source (U.S. Code)	Source (Statutes at Large)
5947	34 U.S.C. 265.	May 5, 1950, ch. 169, §7(c), 64 Stat. 146.

Good Character is EXPECTED

Good Behavior is the LAW

The Legal World and the Moral World

We need to be up here!!!

The Moral World
- **The instructions are guidance**
- **Do the right thing**

The Regulatory World
- **What does the instruction say?**

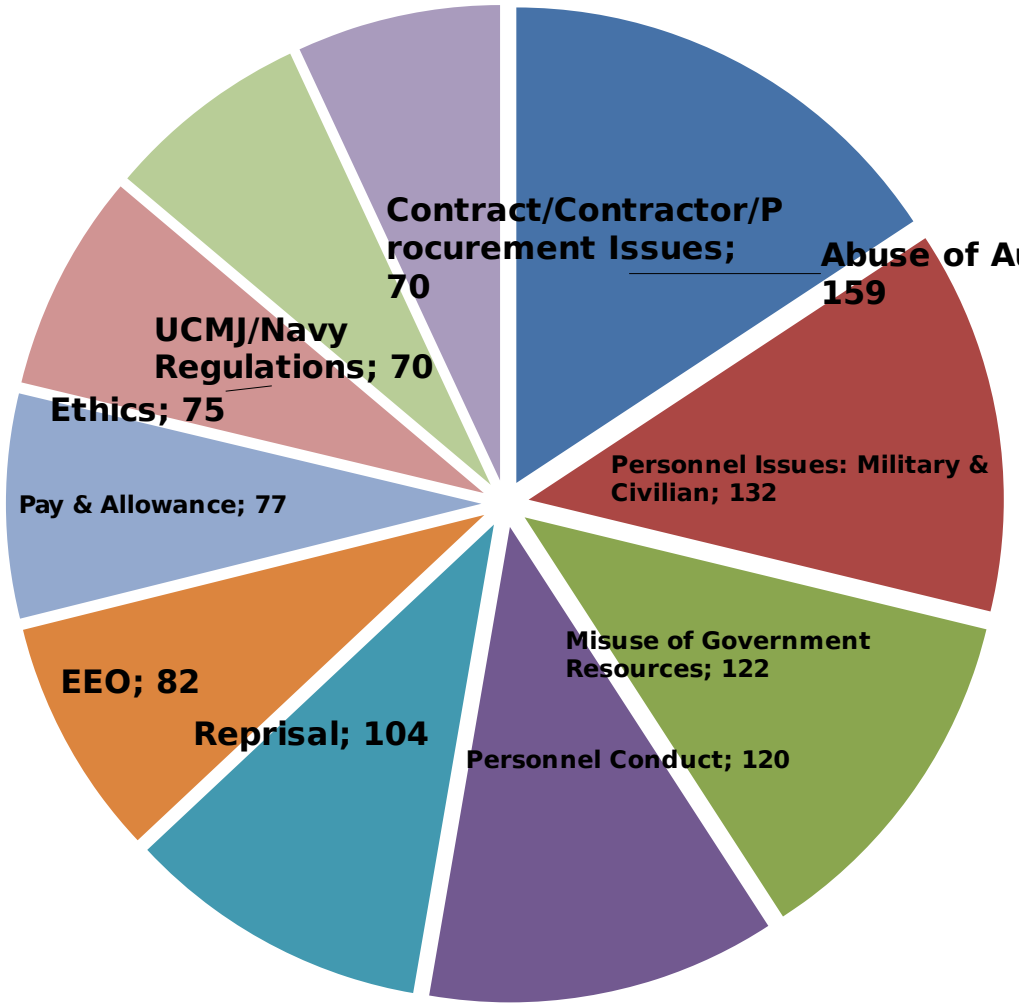
The Legal World
- **The minimum (floor) -- don't go to jail**

Righting Moments

Keep our moral/ethical compasses aligned and pointing North

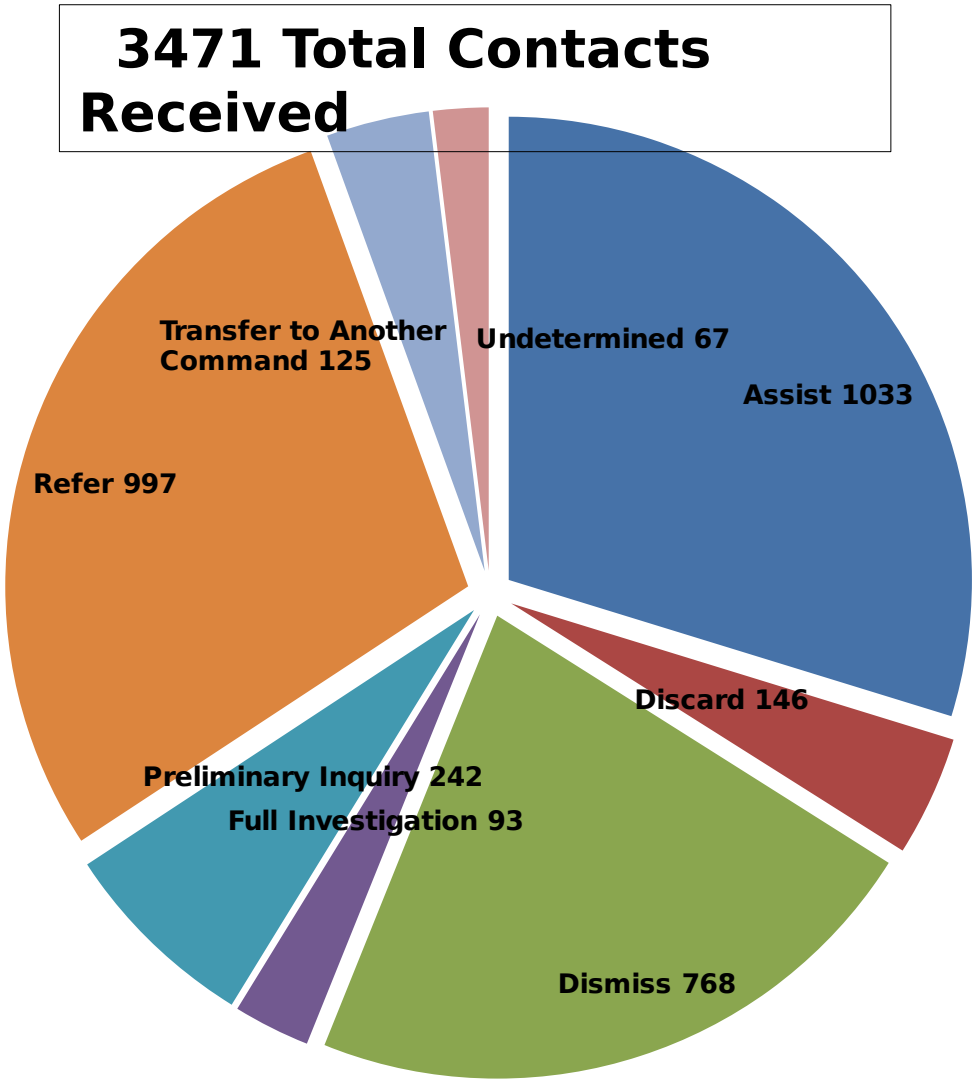
- **Lead with transparency;**
- **Use checks and balances**
- **Ensure your actions stand the test of scrutiny (Washington Post Test)**
- **Direct subordinates to provide forceful backup;**
- **Your spouse and friends are your best teammates**
- **Govern your professional and personal lives by the same principals.**

2013 Top 10 Hotline Complaints*



*Excludes Senior Official Cases

2013 Hotline Courses of Action



Top 5 Complaints

1. Abuse of Authority
2. Personnel Issues
3. Misuse of Govt Resources
4. Misconduct
5. Reprisal

“ I have determined that the officers recommended are fully qualified for appointment to meet the needs of the Navy consistent with the *exemplary conduct* requirements of section 5947 of title 10, U.S. Code. Relevant systems of records maintenance in the Department of the Navy pertaining to these officers have been queried and reveal no adverse information that would affect their suitability for employment. ”

-SECNAV Board Precepts